

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing

# PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004

Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN  
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

## PHA Plan Agency Identification

PHA Name: **Housing Authority of the City of San Jose**

PHA Number: **CA056**

PHA Fiscal Year Beginning: **7/1/2001**

### Public Access to Information

**Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)**

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

### Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☐ Public library
- ☐ PHA website
- ☒ Other (list below)
  1. Cypress Gardens, 3555 Judro Way, San Jose, CA 95117
  2. Lenzen Gardens, 893 Lenzen Avenue, San Jose, CA 95126
  3. Sunset Gardens, 7750 Wren Avenue, Gilroy, CA 95020
  4. Rincon Gardens, 400 West Rincon Avenue, San Jose, CA 95008

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2000 - 2004**  
[24 CFR Part 903.5]

**A. Mission**

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

☐ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.

☒ The PHA's mission is: (state mission here)

**The MISSION of the Housing Authority of the City of San Jose is to provide as much "decent, safe and sanitary" housing as possible for the low-income families, residents with disabilities, and seniors of the Santa Clara Valley.**

**Our philosophy, goals and professional commitment are dedicated toward fulfilling this mission.**

**B. Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

**HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.**

☒ PHA Goal: Expand the supply of assisted housing

Objectives:

☒ Apply for additional rental vouchers: **Successfully compete for the maximum amount of allocations through all Notice of Funding Availability.**

☐ Reduce public housing vacancies:

☐ Leverage private or other public funds to create additional housing opportunities:

☐ Acquire or build units or developments:

☒ Other (list below)

- House 20% of the families on the waiting list within 5 years.

- ☒ PHA Goal: Improve the quality of assisted housing  
Objectives:
- ☐ Improve public housing management: (PHAS score)
  - ☒ Improve voucher management: (SEMAP score) **Maintain MTCS High Score, complete 100% annual inspections and recertifications on time**
  - ☒ Increase customer satisfaction:
  - ☐ Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)
  - ☐ Renovate or modernize public housing units:
  - ☐ Demolish or dispose of obsolete public housing:
  - ☐ Provide replacement public housing:
  - ☐ Provide replacement vouchers:
  - ☒ Other:
- **Maintain 3 months of operating expenses in cash reserves;**
  - **Establish a revenue-generating, in-house training and development entity;**
  - **Identify appropriate administrative facility expansion plan for staff and clients;**
  - **Attract and maintain a large pool of highly qualified, diverse staff;**
  - **Prepare for the impact of potential leadership changes;**
- ☒ PHA Goal: Increase assisted housing choices  
Objectives:
- ☒ Provide voucher mobility counseling: **Provide owner outreach workshops and continue to present information at briefings**
  - ☒ Conduct outreach efforts to potential voucher landlords
  - ☒ Increase voucher payment standards
  - ☒ Implement voucher homeownership program: **Only when final rule is implemented**
  - ☐ Implement public housing or other homeownership programs:
  - ☐ Implement public housing site-based waiting lists:
  - ☐ Convert public housing to vouchers:
  - ☒ Other: (list below)
    - **Form an Owner Advisory Group**

HUD Strategic Goal: Improve community quality of life and economic vitality

- ☒ PHA Goal: Provide an improved living environment  
Objectives:
- ☐ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
  - ☐ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
  - ☐ Implement public housing security improvements:

- ☐ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- ☒ Other: (list below)
  - **Participate in Work Force Investment activities as a mandatory partner**
  - **Increase income levels for 30% of clients**
  - **Utilize voucher program for homeownership**

**HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals**

☒ PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- ☒ Increase the number and percentage of employed persons in assisted families: **Refer 100% of unemployed TANF to Calworks and WIA**
- ☒ Provide or attract supportive services to improve assistance recipients' employability: **Serve as a mandated partner for Workforce Investment Act, co-partner with Calworks for WTW Clients**
- ☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- ☒ Other: (list below)
  - **Support the Family Self-Sufficiency Program**
  - **Expand the number of people assisted by the scholarship fund by 100%**
  - **Establish a scholarship endowment fund of \$1 million.**

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

☒ PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

- ☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: **See Chapter 1, Section G of the Section 8 Administrative Plan**
- ☒ Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability: **See Chapter 1, Section G of the Section 8 Administrative Plan**
- ☒ Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: **See Chapter 1, Section G of the Section 8 Administrative Plan**
- ☐ Other: (list below)

Other PHA Goals and Objectives: (list below)

**Annual PHA Plan**  
**PHA Fiscal Year 2001**

[24 CFR Part 903.7]

**i.** Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

☐ **Standard Plan**

Streamlined Plan:

☐

**High Performing PHA**

☐

**Small Agency (<250 Public Housing Units)**

☒

**Administering Section 8 Only**

☐ **Troubled Agency Plan**

**ii.** Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 ®]

**The Housing Authority of the City of San Jose's Executive Summary is provided as Attachment A.**

**iii.**

**iv.** Annual Plan Table of Contents

[24 CFR Part 903.7 9 ®]

Annual Plan and Five Year Plan

**ATTACHMENTS**

- A. Housing Authority of the City of San Jose Executive Summary
- B. Organizational Charts
- C. Resolution No. 01-09 PHA Certification of Compliance with the PHA Plans and Related Regulations Board Resolution to Accompany the PHA Plan
- D. State/Local Government Certification of Consistency with the Consolidated Plan
- E. List of Consolidated Plans for the Jurisdictions of the Housing Authority of the City of San Jose
- F. Fiscal Year Ending 6/30/2001 Operating Budget for the Section 8 Program
- G. Table of Contents for the Section 8 Administrative Plan
- H. Housing Authority of the County of Santa Clara and City of San Jose Single Audit Year Ended June 30, 2000
- I.
  - 1. Procurement Policy for Equipment, Materials and Supplies,
  - 2. Procurement Policy for Professional Services
  - 3. Disposition Policy
  - 4. Protests and Appeals Policy
  - 5. Investment Policy and Guidelines
- J. Housing Needs of Families in the Housing Authority's Jurisdictions
- K. Programs Administered at the Housing Authority of the City of San Jose
- L. Resident Advisory Board Meetings and Public Comments

**Required Attachments:**

- ☐ Admissions Policy for Deconcentration -
- ☐ FY 2001 Capital Fund Program Annual Statement
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

**Optional Attachments:**

- ☐ PHA Management Organizational Chart
- ☐ FY 2001 Capital Fund Program 5 Year Action Plan
- ☐ Public Housing Drug Elimination Program (PHDEP) Plan: N/A
- ☒ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- ☐ Other (List below, providing each attachment name)

**Supporting Documents Available for Review**

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 Quality Housing and Work Responsibility Act Initial Guidance; Notice and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing



<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
N/A	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
SEE TABLE OF CONTENTS	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

## 1. Statement of Housing Needs [24 CFR Part 903.7 9 (a)]

**Housing needs will be addressed through attrition, application for new funding and building new affordable housing sites.**

**The Section 8 program has approximately 600 turnovers per year. Public Housing has approximately 57 turnovers per year.**

### A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	63,195	5	5	4	3	4	4
Income >30% but <=50% of AMI	25,648	5	5	4	3	4	4
Income >50% but <80% of AMI	17,455	5	5	4	3	4	4
Elderly	11,091	5	5	4	4	2	4
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
White	34,746	5	5	4	3	3	4
Hispanic	21,081	5	5	4	3	4	4
Black	4,670	5	5	4	3	3	4
Other	11,747	5	5	4	3	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☒ Consolidated Plan of the Jurisdiction/s  
Indicate year: 2000 - 2005 Revision
- ☒ U.S. Census data: the Comprehensive Housing Affordability Strategy  
("CHAS") dataset
- ☐ American Housing Survey data  
Indicate year:
- ☐ Other housing market study  
Indicate year:
- ☐ Other sources: (list and indicate year of information)

**B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists**

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List
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Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	24,666		
Extremely low income <=30% AMI	19,336	78.40	
Very low income (>30% but <=50% AMI)	5,281	21.41	
Low income (>50% but <80% AMI)	49	.19	
Families with children	13,689	55.49	
Elderly families	3,534	14.32	
Families with Disabilities	3,427	13.89	
Race - Caucasian	12,450	51.85	
Race - Black	3,734	15.55	
Race- Native American	120	00.04	
Race - Asian	7,707	32.09	
Ethnicity - Hispanic	8,926	36.19	
Ethnicity - Non-Hispanic	24,666	63.81	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Housing Needs of Families on the Waiting List			
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)? 24 months			
Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			

### C. Strategy for Addressing Needs

**The Section 8 and Public Housing Programs are 100% leased. As vacancies occur, names will be taken from the wait list by date and time. Additionally, the Section 8 Housing Programs Department leased vouchers to over 1,066 families from the waiting list who met the criteria for the Welfare to Work targeted vouchers.**

#### (1) Strategies

Need: Shortage of affordable housing for all eligible populations

**Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:**

Select all that apply

- ☐ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☐ Reduce turnover time for vacated public housing units
- ☐ Reduce time to renovate public housing units
- ☐ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☐ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☐ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program

- ☐ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- ☐ Apply for additional section 8 units should they become available
- ☐ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☒ Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

**Strategy 1: Target available assistance to families at or below 30 % of AMI**

Select all that apply

- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☒ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- ☐ Employ admissions preferences aimed at families with economic hardships
- ☐ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- ☐ Employ admissions preferences aimed at families who are working
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

**Need: Specific Family Types: The Elderly**

Strategy 1: Target available assistance to the elderly:

Select all that apply

- ☐ Seek designation of public housing for the elderly
- ☒ Apply for special-purpose vouchers targeted to the elderly, should they become available
- ☐ Other: (list below)

**Need: Specific Family Types: Families with Disabilities**

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☐ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- ☒ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☒ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

**Need: Specific Family Types: Races or ethnicities with disproportionate housing needs**

**Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:**

Select if applicable

- ☒ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- ☒ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☒ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

**(2) Reasons for Selecting Strategies**

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
- ☐ Staffing constraints
- ☒ Limited availability of sites for assisted housing
- ☐ Extent to which particular housing needs are met by other organizations in the community
- ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- ☒ Influence of the housing market on PHA programs
- ☐ Community priorities regarding housing assistance
- ☐ Results of consultation with local or state government
- ☒ Results of consultation with residents and the Resident Advisory Board
- ☒ Results of consultation with advocacy groups

☐ Other: (list below)

## **2.** Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2001 grants)</b>		
a) Public Housing Operating Fund		
b) Public Housing Capital Fund		
c) HOPE VI Revitalization	N/A	
d) HOPE VI Demolition	N/A	
e) Annual Contributions for Section 8 Tenant-Based Assistance	51,017,935	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	N/A	
g) Resident Opportunity and Self-Sufficiency Grants	N/A	
h) Community Development Block Grant	N/A	
i) HOME	N/A	
<b>Other Federal Grants (list below)</b>		
Welfare to Work Grant (Section 8)		Included in 1.e) above
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>3. Public Housing Dwelling Rental Income</b>		
<b>4. Other income</b> (list below)		
<b>4. Non-federal sources</b> (list below)		
Sec. 8 Admin Fee Investment Income	21,320	Section 8 program operations
<b>Total resources</b>	51,039,255	<b>We specifically reserve the right to change this financial resources statement based on later, better information.</b>

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 ©]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

The City of San Jose does not have Public Housing units.

#### **(1) Eligibility**

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)
- ☐ When families are within a certain time of being offered a unit:
- ☐ Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☐ Criminal or Drug-related activity
- ☐ Rental history
- ☐ Housekeeping
- ☐ Other (describe)



- c. ☐ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. ☐ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. ☐ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

**(2)Waiting List Organization**

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☐ Community-wide list
- ☐ Sub-jurisdictional lists
- ☐ Site-based waiting lists
- ☐ Other (describe)

b. Where may interested persons apply for admission to public housing?

- ☐ PHA main administrative office
- ☐ PHA development site management office
- ☐ Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection

**(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?

If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously

If yes, how many lists? There are six complexes for families. Families may sign up for all six.

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
- ☐ All PHA development management offices
- ☐ Management offices at developments with site-based waiting lists
- ☐ At the development to which they would like to apply
- ☐ Other (list below)

**(3) Assignment**

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One  
☐ Two  
☐ Three or More

b. ☐ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

**(4) Admissions Preferences**

a. Income targeting:

☐ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☐ Emergencies  
☐ Overhoused  
☐ Underhoused  
☐ Medical justification  
☐ Administrative reasons determined by the PHA (e.g., to permit modernization work)  
☐ Resident choice: (state circumstances below)  
☐ Other: (list below)

c. Preferences

1. ☐ Yes ☐ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)

**(5) Occupancy**

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)  
☐ Victims of domestic violence  
☐ Substandard housing  
☐ Homelessness  
☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☐ Working families and those unable to work because of age or disability

- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences:

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)  
 Victims of domestic violence  
 Substandard housing  
 Homelessness  
 High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

### **(5) Occupancy**

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☐ The PHA-resident lease

- ☐ The PHA's Admissions and (Continued) Occupancy policy
- ☐ PHA briefing seminars or written materials
- ☐ Other source (list)

b. How often must residents notify the PHA of changes in family composition?

(select all that apply)

- ☐ At an annual reexamination and lease renewal
- ☐ Any time family composition changes
- ☐ At family request for revision
- ☐ Other (list)

#### **(6) Deconcentration and Income Mixing**

a. ☐ Yes ☐ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. ☐ Yes ☐ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- ☐ Adoption of site based waiting lists  
If selected, list targeted developments below:
- ☐ Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:
- ☐ Employing new admission preferences at targeted developments  
If selected, list targeted developments below:
- ☐ Other (list policies and developments targeted below)

d. ☐ Yes ☐ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- ☐ Additional affirmative marketing
- ☐ Actions to improve the marketability of certain developments
- ☐ Adoption or adjustment of ceiling rents for certain developments
- ☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- ☐ Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

☐ Not applicable: results of analysis did not indicate a need for such efforts

☐ List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

☐ Not applicable: results of analysis did not indicate a need for such efforts

☐ List (any applicable) developments below:

#### B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

**Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

#### (1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

☒ Criminal or drug-related activity only to the extent required by law or regulation

☐ Criminal and drug-related activity, more extensively than required by law or regulation

☐ More general screening than criminal and drug-related activity (list factors below)

☐ Other (list below)

b. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

☐ Criminal or drug-related activity

☐ Other (describe below)

## **(2) Waiting List Organization**

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- ☒ None
- ☐ Federal public housing
- ☐ Federal moderate rehabilitation
- ☐ Federal project-based certificate program
- ☐ Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- ☐ PHA main administrative office
- ☒ Other (list below)

**The list is currently closed. When the list reopens the Housing Authority will advertise through public notice in the newspapers, minority publications, local agencies and media entities. When the waiting list is open, any family asking to be placed on the waiting list for Section 8 Rental Assistance will be given the opportunity to complete an interest list form. When the interest list form is submitted to the Housing Authority it establishes the family's date and time of registration for placement order on the waiting list.**

## **(3) Search Time**

a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below: **Due to lack of affordable housing we routinely give 120 days for search. We will extend beyond 120 days based on accommodation for special needs, verified medical issues and other extenuating circumstances demonstrating the need for more time and the reason housing was not located during the 120 days.**

## **(4) Admissions Preferences**

a. Income targeting

☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

1      Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)  
 Victims of domestic violence  
 Substandard housing  
 Homelessness  
 High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs

- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☒ Date and time of application
- ☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one) **N/A**

- ☐ This preference has previously been reviewed and approved by HUD
- ☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one) **N/A**

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

#### **(5) Special Purpose Section 8 Assistance Programs**

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☒ The Section 8 Administrative Plan
- ☐ Briefing sessions and written materials
- ☐ Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☒ Through published notices
- ☐ Other (list below)

#### **4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

##### **(1) Income Based Rent Policies**

Describe the PHA’s income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- ☐ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of



adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

☐ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0  
☐ \$1-\$25  
☐ \$26-\$50

2. ☐ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☐ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- ☐ For the earned income of a previously unemployed household member  
☐ For increases in earned income  
☐ Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

☐ Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

- ☐ For household heads  
☐ For other family members  
☐ For transportation expenses  
☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families  
☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

☐ Yes for all developments

- ☐ Yes but only for some developments  
☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☐ For all developments  
☐ For all general occupancy developments (not elderly or disabled or elderly only)  
☐ For specified general occupancy developments  
☐ For certain parts of developments; e.g., the high-rise portion  
☐ For certain size units; e.g., larger bedroom sizes  
☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study  
☐ Fair market rents (FMR)  
☐ 95<sup>th</sup> percentile rents  
☐ 75 percent of operating costs  
☐ 100 percent of operating costs for general occupancy (family) developments  
☐ Operating costs plus debt service  
☐ The "rental value" of the unit  
☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never  
☐ At family option  
☐ Any time the family experiences an income increase  
☐ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) ☐ Other (list below)

g. ☐ Yes ☐ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

## (2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- ☐ The section 8 rent reasonableness study of comparable housing  
☐ Survey of rents listed in local newspaper

- ☐ Survey of similar unassisted units in the neighborhood  
☐ Other (list/describe below)

### **B. Section 8 Tenant-Based Assistance**

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

#### **(1) Payment Standards**

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- ☐ At or above 90% but below 100% of FMR  
☐ 100% of FMR  
☒ Above 100% but at or below 110% of FMR  
☐ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area  
☐ The PHA has chosen to serve additional families by lowering the payment standard  
☐ Reflects market or submarket  
☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area  
☒ Reflects market or submarket  
☒ To increase housing options for families  
☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually  
☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- ☒ Success rates of assisted families  
☒ Rent burdens of assisted families  
☒ Other (list below)  
• Rental data comparability studies

**(2) Minimum Rent**

a. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0  
☐ \$1-\$25  
☒ \$26-\$50

b. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

**5. Operations and Management**

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

**A. PHA Management Structure**

Describe the PHA's management structure and organization.

(select one)

- ☒ An organization chart showing the PHA's management structure and organization is attached.
- ☐ A brief description of the management structure and organization of the PHA follows:

**B. HUD Programs Under PHA Management**

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing	NA	
Section 8 Vouchers	5,736	520
Section 8 Certificates	160	0
Section 8 Mod Rehab	55	5
Special Purpose Section 8 Certificates/Vouchers (list individually)	366 WTW	15
Public Housing Drug Elimination Program (PHDEP)	N/A	

Other Federal Programs(list individually)		

### C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

- Section 8 Administrative Plan

## 6. PHA Grievance Procedures

### [24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

#### A. Public Housing

1. ☐ Yes ☐ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☐ PHA main administrative office  
☐ PHA development management offices  
☐ Other (list below)

#### B. Section 8 Tenant-Based Assistance

1. ☐ Yes ☒ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☒ PHA main administrative office  
☐ Other (list below)

## 7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

### A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

### (1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template ~~OR~~ at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

☐ **The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment**

• or-

☐ The Capital Fund Program Annual Statement is provided below:

### (2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template ~~OR~~ by completing and attaching a properly updated HUD-52834.

a. ☐ Yes ☐ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

☐ **The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment**

• or-

☐ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

## B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

- ☐ Yes ☐ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
- b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)

- ☐ Revitalization Plan under development
- ☐ Revitalization Plan submitted, pending approval
- ☐ Revitalization Plan approved
- ☐ Activities pursuant to an approved Revitalization Plan underway

- ☐ Yes ☐ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
- If yes, list development name/s below:

- ☐ Yes ☐ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
- If yes, list developments or activities below:

- ☐ Yes ☐ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
- If yes, list developments or activities below:

## **8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☐ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

<b>Demolition/Disposition Activity Description</b>
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

**9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities**

**[24 CFR Part 903.7 9 (i)]**

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☐ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

**2. Activity Description**

☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

<b>Designation of Public Housing Activity Description</b>
1a. Development name:



1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

**10. Conversion of Public Housing to Tenant-Based Assistance**  
**[24 CFR Part 903.7 9 (j)]**

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

**A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act**

1. ☐ Yes ☐ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)

3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: ) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: ) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

**B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937**

**C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

**11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

**A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☐ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

**2. Activity Description**

☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

#### **B. Section 8 Tenant Based Assistance**

1. ☒ Yes ☐ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description: **When final rule is approved**

a. Size of Program

☒ Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☒ 25 or fewer participants  
☐ 267 - 50 participants  
☐ 51 to 100 participants

☐ more than 100 participants

b. PHA-established eligibility criteria

☒ Yes ☐ No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

- Family Self-Sufficiency participant or graduate
- Persons with disabilities who are not part of the FSS program

**12. PHA Community Service and Self-sufficiency Programs**

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

**A. PHA Coordination with the Welfare (TANF) Agency**

1. Cooperative agreements:

☒ Yes ☐ No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? **04/23/99**

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☒ Client referrals
- ☒ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☒ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☒ Jointly administer programs
- ☒ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☒ Other (describe)  
Using CalWorks Incentive Funds, create a Landlord Outreach Program

**B. Services and programs offered to residents and participants**

**(1) General**

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☐ Section 8 admissions policies

- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☒ Preference/eligibility for section 8 homeownership option participation
- ☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

☒ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use. )

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
Tenant Scholarships	30+	Application	Main Office	Both
Work Force Investment Act Mandatory Partner		Other	Information regarding job training will be shared with tenants and residents	Both

**(2) Family Self Sufficiency program/s**

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: DD/MM/YY)

Public Housing		
Section 8	345	189

- b. ☐ Yes ☒ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?  
If no, list steps the PHA will take below:

**Welfare to Work clients are being recruited for FSS.**

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- ☒ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- ☒ Informing residents of new policy on admission and reexamination
- ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
- ☒ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- ☒ Establishing a protocol for exchange of information with all appropriate TANF agencies
- ☐ Other: (list below)

**D. Reserved for Community Service Requirement pursuant to section 12© of the U.S. Housing Act of 1937**

**13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children

- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☐ Safety and security survey of residents
- ☐ Analysis of crime statistics over time for crimes committed “in and around” public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports
- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

**B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year**

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

**C. Coordination between PHA and the police**

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☐ Police provide crime data to housing authority staff for analysis and action
- ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☐ Police regularly meet with the PHA management and residents
- ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2001 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

☐ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?

☐ Yes ☐ No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?

☐ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_)

#### 14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

#### 15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

#### 16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))? (If no, skip to component 17.)

2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?

3. ☐ Yes ☒ No: Were there any findings as the result of that audit?

4. ☐ Yes ☒ No: If there were any findings, do any remain unresolved?  
If yes, how many unresolved findings remain? \_\_\_\_

5. ☐ Yes ☒ No: Have responses to any unresolved findings been submitted to HUD?

If not, when are they due (state below)? N/A

#### 17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. ☐ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)

☐ Not applicable

☐ Private management

☐ Development-based accounting



- ☐ Comprehensive stock assessment  
☐ Other: (list below)

3. ☐ Yes ☐ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

### 18. Other Information

[24 CFR Part 903.7 9 ®]

#### A. Resident Advisory Board Recommendations

1. ☒ Yes ☐ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)  
☒ Attached at Attachment L  
☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)  
☐ Considered comments, but determined that no changes to the PHA Plan were necessary.  
☒ The PHA changed portions of the PHA Plan in response to comments  
List changes below: **Selected staff participated in a Fair Housing Training.**  
☐ Other: (list below)

#### B. Description of Election process for Residents on the PHA Board

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

#### 3. Description of Resident Election Process

##### a. Nomination of candidates for place on the ballot: (select all that apply)

- ☐ Candidates were nominated by resident and assisted family organizations  
☐ Candidates could be nominated by any adult recipient of PHA assistance  
☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot  
☒ Other: (describe) **Appointed by Santa Clara Board of Supervisors**

##### b. Eligible candidates: (select one)

- ☒ Any recipient of PHA assistance  
☐ Any head of household receiving PHA assistance  
☐ Any adult recipient of PHA assistance  
☐ Any adult member of a resident or assisted family organization  
☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- ☐ Representatives of all PHA resident and assisted family organizations
- ☒ Other (list) **Appointed by Santa Clara County Board of Supervisors**

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **Santa Clara County, Housing and Community Development, Consolidated Plan for the Period 2000 - 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of San Jose, Housing Department, 2000 - 2005 Consolidated Plan, 1999 Update**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.

- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)
4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:
- **To encourage development of more affordable housing**
  - **To preserve affordable housing subject to loss by conversion**
  - **To preserved Section 8 funding and support application for additional funds**
1. Consolidated Plan jurisdiction: **City of Palo Alto, Housing and Community Development, Consolidated Plan, for the July 1, 2000 to June 30, 2005**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)
4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:
- **To encourage development of more affordable housing**
  - **To preserve affordable housing subject to loss by conversion**
  - **To preserved Section 8 funding and support application for additional funds**
1. Consolidated Plan jurisdiction: **City of Santa Clara, Consolidated Plan, for the Period 1995 - 2000**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.

- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)
4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:
- **To encourage development of more affordable housing**
  - **To preserve affordable housing subject to loss by conversion**
  - **To preserved Section 8 funding and support application for additional funds**
1. Consolidated Plan jurisdiction: **City of Mountain View, Consolidated Plan, 2000 - 2005**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)
4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:
- **To encourage development of more affordable housing**
  - **To preserve affordable housing subject to loss by conversion**
  - **To preserved Section 8 funding and support application for additional funds**
1. Consolidated Plan jurisdiction: **City of Sunnyvale, Consolidated Plan, 2000 - 2005**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.

- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Milpitas, Consolidated Plan, March 1997**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Gilroy, Consolidated Plan, July 1, 2000 - June 30, 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

### Attachments

Use this section to provide any additional attachments referenced in the Plans.





# **Executive Summary**

## **Housing Authority of the City of San Jose**

The Housing Authority of the City of San Jose has prepared its Agency Plan in compliance with both Section 511 of the *Quality Housing and Work Responsibility Act (QHWRA) of 1998* and the ensuing requirements of the U.S. Department of Housing and Urban Development.

The Housing Authority of the City of San Jose has adopted the following mission statement to guide its activities:

**The mission of the Housing Authority of the City of San Jose is to provide as much decent, safe and sanitary housing as possible for the low-income families, residents with disabilities and seniors in the Santa Clara Valley.**

Our philosophy, goals and professional commitment are dedicated toward fulfilling this mission.

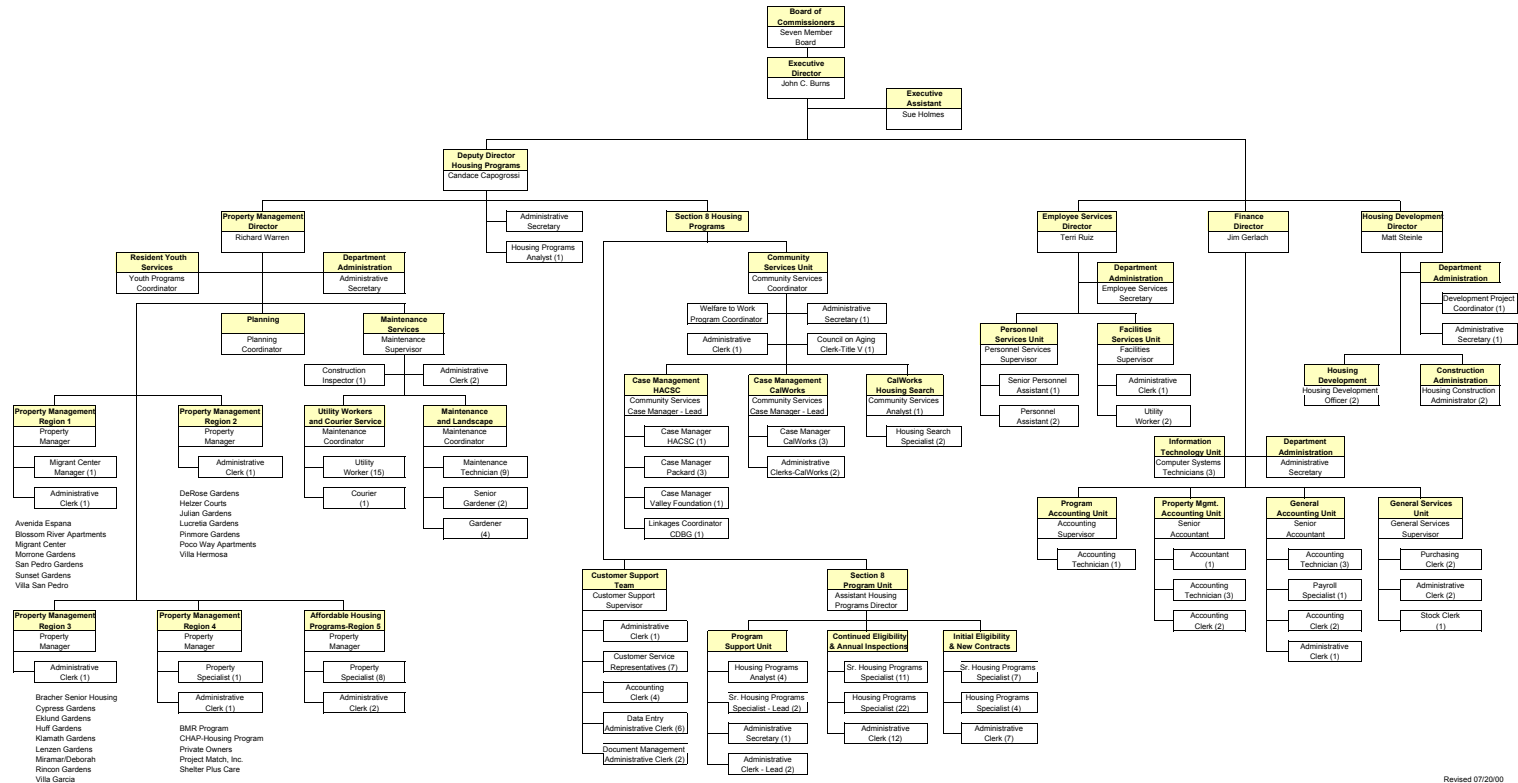
Over the next five years the Housing Authority of the City of San Jose will pursue the following primary goals:

- **Increase the availability of decent, safe and affordable housing by improving the quantity, quality, and variety of housing choices in the community;**
- **Improve the community quality of life and economic vitality by participating in work force investment activities, by increasing income levels for 30% of clients and by utilizing the voucher program for homeownership;**
- **Promote self-sufficiency and asset development of families and individuals by supporting the Family Self-Sufficiency Program, by linking TANF recipients to CalWORKS and other appropriate programs and by increasing the number of families served by the agency's existing educational scholarship fund;**
- **Take affirmative measures to ensure Equal Opportunity in Housing for all families living in assisted housing regardless of race, color, religion, national origin, sex, familial status and disability.**

The Annual Plan of the Housing Authority of the City of San Jose is based on the premise that accomplishing the above five-year goals will move the Housing Authority in a direction consistent with its mission. The policies, procedures, plans and budgets set forth in the Annual Plan all support and promote the accomplishment of the stated goals and objectives. Both the Agency Plan and the Annual Plan outline a comprehensive approach to meeting these goals and objectives, and they are consistent with the Consolidated Plans of the eight jurisdictions in Santa Clara County.

A Resident Advisory Council has thoroughly reviewed both the Five-Year Plan and the Annual Plan. This representative group met and discussed the plans on five separate occasions. Their comments have been summarized and are included in the documents.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA



## **List of Consolidated Plans for the Jurisdictions of the Housing Authority of the City of San Jose**

The Housing Authority of the City of San Jose has ensured consistency of its plan with the Consolidated Plans for the following jurisdictions:

Santa Clara County  
Housing and Community Development  
Consolidated Plan for the Period 2000 - 2005

City of San Jose  
Housing Department  
2000 - 2005 Consolidated Plan

City of Palo Alto  
Housing and Community Development  
Consolidated Plan  
for the Period July 1, 2000 to June 30, 2005

City of Santa Clara  
Consolidated Plan  
for the Period 2000 - 2005

City of Mountain View  
Consolidated Plan  
2000 - 2005

City of Sunnyvale  
Consolidated Plan  
2000 - 2005

City of Milpitas  
Draft Consolidated Annual Performance Evaluation Report  
July 1, 1998 to June 30, 1999

City of Gilroy  
Consolidated Plan  
July 1, 2000 to June 30, 2005

**Chapter 1**  
**STATEMENT OF POLICIES AND OBJECTIVES**

A. Mission Statement.....	1-1
B. Local Goals.....	1-1
C. Purpose of the Plan.....	1-7
D. Administrative Fee Reserve.....	1-8
E. Rules and Regulations.....	1-8
F. Terminology .....	1-8
G. Fair Housing Policy.....	1-9
H. Reasonable Accommodations Policy.....	1-10
I. Management Assessment Objectives.....	1-12
J. Records for Monitoring PHA Performance.....	1-14
K. Privacy Rights.....	1-15
L. Family Outreach.....	1-16
M. Owner Outreach.....	1-17

**Chapter 2**  
**ELIGIBILITY FOR ADMISSION**

A. Eligibility Factors.....	2-1
B. Family Composition .....	2-3
C. Income Limitations.....	2-7
D. Mandatory Social Security Numbers.....	2-9
E. Citizenship/Eligible Immigration Status.....	2-9
F. Other Criteria for Admissions.....	2-10
G. Tenant Screening.....	2-11
H. Changes in Eligibility Prior to Effective Date of the Contract.....	2-11
I. Ineligible Families.....	2-12
J. Prohibited Admissions Criteria.....	2-12

**Chapter 3**  
**APPLYING FOR ADMISSION**

A. Overview of the Application Taking Process.....	3-1
B. Opening/Closing of Application Taking.....	3-2
C. “Initial” Application Procedures.....	3-4
D. Applicant Status While on Waiting List.....	3-5
E. Time of Selection.....	3-5
F. Completion of a Full Application.....	3-6
G. Verification.....	3-8
H. Final Determination and Notification of Eligibility.....	3-8

**Chapter 4**  
**MAINTAINING THE WAITING LIST**

A. Waiting List .....	4-2
B. Special Admissions.....	4-3
C. Treatment of Single Applicants.....	4-4
D. Income Targeting.....	4-4
E. Targeted Funding.....	4-5
F. Order of Selection.....	4-7
G. Removal from Waiting List and Purging.....	4-7

**Chapter 5**  
**SUBSIDY STANDARDS**

A. Determining Family Unit (Voucher) Size.....	5-1
B. Exceptions to Subsidy Standards.....	5-3
C. Unit Size Selected.....	5-5

**Chapter 6**  
**FACTORS RELATED TO TOTAL TENANT PAYMENT AND  
FAMILY SHARE DETERMINATION**

A. Income and Allowances.....	6-2
B. Minimum Rent.....	6-3
C. Definition of Temporarily/Permanently Absent.....	6-6
D. Averaging Income.....	6-12
E. Minimum Income.....	6-12
F. Income of Person Permanently Confined to Nursing Home.....	6-13
G. Regular Contributions and Gifts.....	6-13
H. Alimony and Child Support.....	6-14
I. Lump-Sum Receipts .....	6-15
J. Contributions to Retirement Funds - Assets.....	6-18
K. Assets Disposed of for Less Than Fair Market Value.....	6-18
L. Child Care Expenses .....	6-19
M. Medical Expenses.....	6-20
N. Proration of Assistance for “Mixed” Families.....	6-20
O. Reduction in Benefits.....	6-20
P. Utility Allowance and Utility Reimbursement Payments.....	6-21

**Chapter 7**  
**VERIFICATION PROCEDURES**

A. Methods of Verification and Time Allowed.....	7-2
B. Release of Information.....	7-5
C. Computer Matching .....	7-5
D. Items to be Verified .....	7-6
E. Verification of Income.....	7-7
F. Income from Assets.....	7-13
G. Verification of Assets .....	7-14
H. Verification of Allowable Deductions From Income.....	7-15
I. Verifying Non-Financial Factors.....	7-18

**Chapter 8**  
**VOUCHER ISSUANCE AND BRIEFINGS**

A. Issuance of Vouchers.....	8-1
B. Briefing Types and Required Attendance.....	8-2
C. Encouraging Participation in Areas Without Low Income or Minority Concentration.....	8-6
D. Assistance to Families who Claim Discrimination.....	8-7
E. Security Deposit Requirements.....	8-8
F. Term of Voucher.....	8-9
G. Voucher Issuance Determination for Split Households .....	8-
H. Remaining Member of Tenant Family - Retention of Voucher.....	8-11

10

**Chapter 9**  
**REQUEST FOR APPROVAL OF TENANCY AND CONTRACT EXECUTION**

A. Request for Approval of Tenancy.....	9-2
B. Eligible Types of Housing.....	9-4
C. Lease Review.....	9-5
D. Initial Inspections.....	9-5
E. Rent Limitations.....	9-6
F. Disapproval of Proposed Rent.....	9-6
G. Information to Owners.....	9-7
H. Owner Disapproval.....	9-8
I. Change in Total Tenant Payment (TTP) Prior to HAP Effective Date .....	9-8
J. Contract Execution Process.....	9-9
K. Change in Ownership.....	9-9

---

Table of Contents

---

**Chapter 10**  
**HOUSING QUALITY STANDARDS AND INSPECTIONS**

A. Guidelines/Types of Inspections.....	10-2
B. Initial HQS Inspection.....	10-3
C. Inspections.....	10-5
D. Special/Complaint Inspections.....	10-7
E. Quality Control Inspections.....	10-7
F. Emergency Repair Items.....	10-9
G. Consequences if Owner is Responsible (Non-Emergency Items).....	10-11
H. Determination of Responsibility.....	10-12
I. Consequences if Family is Responsible.....	10-13

**Chapter 11**  
**OWNER RENTS, RENT REASONABLENESS, AND PAYMENT STANDARDS**

A. Rent to Owner in the Housing Choice Voucher Program.....	11-1
B. Making Payments to Owners .....	11-2
C. Rent Reasonableness Determinations .....	11-3
D. Payment Standards for the Voucher Program .....	11-5
E. Adjustments to Payment Standards.....	11-6
F. Exception Payment Standards.....	11-8
G. Owner Payment in the Premerger Regular Certificate Program .....	11-8
H. Owner Payment in the Premerger Oer Fair Market Rent Tenancy (OFTO and Voucher Programs.....	11-9

**Chapter 12**  
**APPLYING FOR ADMISSION**

A. Annual Activities.....	12-1
B. Annual Recertification/Re-Examination.....	12-2
C. Reporting Interim Changes.....	12-7
D. Other Interim Reporting Issues.....	12-9
E. Income Changes resulting From Welfare Program Requirements.....	12-10
F. Notification of results of Recertifications.....	12-12
G. Timely Reporting of Changes in Income (and Assets) .....	12-13
H. Changes in Voucher Size as a Result of Family Composition Changes .....	12-15
I. Continuance of Assistance for “Mixed” Familie.s.....	12-15
J. Misrepresentation of Family Circumstances.....	12-15

---

Table of Contents

---

**Chapter 13**  
**MOVES WITH CONTINUED ASSISTANCE/PORTABILITY**

A. Allowable Moves.....	13-1
B. Restriction on Moves .....	13-2
C. Procedure for Moves .....	13-3
D. Portability.....	13-3
E. Outgoing Portability .....	13-4
F. Incoming Portability.....	13-6

**Chapter 14**  
**OWNER RENTS, RENT REASONABLENESS, AND PAYMENT STANDARDS**

A. Contract Termination.....	14-1
B. Termination by the Family: Moves.....	14-2
C. Termination of Tenancy by the Owner: Evictions.....	14-2
D. Termination of the Contract by PHA .....	14-5

**Chapter 15**  
**DENIAL OF TERMINATION OF ASSISTANCE**

A. Grounds for Denial/Termination.....	15-1
B. “One Strike” Policy.....	15-5
C. Family Obligations.....	15-10
D. Procedures for Non-Citizens.....	15-15
E. Zero (\$0) Assistance Tenancies .....	15-16
F. Option Not to Terminate for Mis-Representation.....	15-16
G. Mis-Representation in Collusion with Owner.....	15-17
H. Missed Appointments and Deadlines .....	15-18

**Chapter 16**  
**OWNER DISAPPROVAL AND RESTRICTION**

A. Disapproval of Owner.....	16-1
B. Owner Restrictions and Penalties.....	16-3
C. Change in Ownership.....	16-3



---

## Table of Contents

---

### **Chapter 17** **CLAIMS, MOVE-OUT AND CLOSE-OUT INSPECTIONS** (For HAP Contracts Effective Before October 2, 1995)

A.	OWNER CLAIMS .....	17-1
B.	UNPAID RENT .....	17-1
C.	DAMAGES .....	17-2
D.	VACANCY LOSS IN THE CERTIFICATE PROGRAM .....	17-3
E.	MOVE-OUT AND CLOSE-OUT INSPECTIONS .....	17-5
F.	PROCESSING CLAIMS .....	17-6

### **Chapter 18** **OWNER OR FAMILY DEBTS TO THE PHA**

A.	PAYMENT AGREEMENT FOR FAMILIES .....	18-2
B.	DEBTS OWED FOR CLAIMS .....	18-4
C.	DEBTS DUE TO MISREPRESENTATIONS/NON-REPORTING OF INFORMATION .....	18-6
D.	DEBTS DUE TO MINIMUM RENT TEMPORARY HARDSHIP .....	18-8
E.	GUIDELINES FOR PAYMENT AGREEMENTS .....	18-9
F.	OWNER DEBTS TO THE PHA .....	18-11
G.	WRITING OFF DEBTS .....	18-11

### **Chapter 19** **COMPLAINTS AND APPEALS**

A.	COMPLAINTS TO THE PHA .....	19-2
B.	PREFERENCE DENIALS .....	19-3
C.	INFORMAL REVIEW PROCEDURES FOR APPLICANTS .....	19-4
D.	INFORMAL HEARING PROCEDURES .....	19-7
E.	HEARING AND APPEAL PROVISIONS FOR "RESTRICTIONS ON ASSISTANCE TO NON-CITIZENS" .....	19-13
F.	MITIGATING CIRCUMSTANCES FOR APPLICANTS/PARTICIPANTS WITH DISABILITIES .....	19-15

### **Chapter 20** **SPECIAL HOUSING TYPES**

A.	SINGLE ROOM OCCUPANCY .....	20-2
B.	CONGREGATE HOUSING .....	20-3
C.	GROUP HOMES .....	20-4
D.	SHARED HOUSING .....	20-6
E.	COOPERATIVE HOUSING .....	20-8
F.	MANUFACTURED HOMES .....	20-9

---

Table of Contents

---

**Section 8**  
**EXISTING AFTERCARE PROGRAM DESCRIPTION**

General Historical Information .....	P. 1
General Current Information .....	P. 1
Program Objectives .....	P. 1
Approved Community Referring Agencies Provide .....P. 1	
Housing Authority Responsibilities .....	P.2

**Section 8**  
**EXISTING FAMILY UNIFICATION PROGRAM DESCRIPTION**

Introduction .....	P. 1
Eligibility .....	P. 1
Requirements .....	P. 1
Family Commitment .....	P. 2
Grounds for Termination .....	P.2
General Historical Information .....	P.2

**Section 8**  
**EXISTING FAMILY SELF-SUFFICIENCY PROGRAM DESCRIPTION**

Introduction .....	P. 1
Historical Program Requirement .....P. 1	
Tenant Selection Plan .....	P. 1
Eligible Applicants .....	P. 2
Term of Contract .....	P.2
Establishment of an Escrow Account .....	P.2
Loans Against Escrow Accounts .....P.2	
Release of Escrow .....	P.3
Termination for Non-Compliance .....	P.3
Grievance Procedures .....	P.3
Forfeit of Escrow .....	P.4
Reinstatement Policy .....	P.4

**Section 8**  
**EXISTING SHELTER PLUS CARE PROGRAM DESCRIPTION**

Introduction .....	P. 1
--------------------	------

Housing Authority Responsibilities .....	P. 1
--	------

## GLOSSARY

A.	ACRONYMS USED IN SUBSIDIZED HOUSING .....	GL-1
B.	GLOSSARY OF TERMS IN SUBSIDIZED HOUSING.....	GL-3
C.	GLOSSARY OF TERMS USED IN THE NONCITIZENS RULE .....	GL-17

## PROGRAM INTEGRITY ADDENDUM

A.	CRITERIA FOR INVESTIGATION OF SUSPECTED ABUSE AND FRAUD .....	PI-2
B.	STEPS THE PHA WILL TAKE TO PREVENT PROGRAM ABUSE AND FRAUD .....	PI-3
C.	STEPS THE PHA WILL TAKE TO DETECT PROGRAM ABUSE AND FRAUD .....	PI-4
D.	THE PHA'S HANDLING OF ALLEGATIONS OF POSSIBLE ABUSE AND FRAUD .....	PI-5
E.	OVERPAYMENTS TO OWNERS.....	PI-5
F.	HOW THE PHA WILL INVESTIGATE ALLEGATIONS OF ABUSE AND FRAUD .....	PI-6
G.	PLACEMENT OF DOCUMENTS, EVIDENCE AND STATEMENTS OBTAINED BY THE PHA .....	PI-7
H.	CONCLUSION OF THE PHA'S INVESTIGATIVE REVIEW .....	PI-7
I.	EVALUATION OF THE FINDINGS .....	PI-7
J.	ACTION PROCEDURES FOR VIOLATIONS WHICH HAVE BEEN DOCUMENTED .....	PI-8

# CHAS Table 1C - All Households

Name of Jurisdiction: Santa Clara County, CA			Source of Data CHAS Data Book			Data Current as of: 1990			
	Renters					Owners			
Household by  Type, Income, &  Housing Problem	Elderly 1 & 2 member household s	Small Related  (2 to 4)	Large Related (5 or more)	All Other Household s	Total Renters	Elderly	All Other Owners	Total Owners	Total Household s
	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)
1. Very Low Income (0 to 50% MFI)	13,077	21,016	11,962	17,140	63,195	20,042	14,999	35,041	98,236
2. 0 to 30% MFI	8,862	10,446	5,808	9,081	34,197	10,165	6,181	16,346	50,543
3. % with any housing problems	74%	89%	97%	82%	85%	57%	25%	64%	78%
4. % Cost Burden > 30%	74%	84%	87%	82%	81%	57%	6%	63%	75%
5. % Cost Burden > 50%	52%	76%	72%	72%	68%	35%	9%	44%	60%
6. 31 to 50% MFI	4,215	10,570	6,154	8,059	28,998	9,877	8,818	18,695	47,693
7. % with any housing problems	77%	90%	95%	86%	88%	27%	12%	47%	72%
8. % Cost Burden > 30%	76%	84%	74%	85%	81%	27%	17%	44%	66%
9. % Cost Burden > 50%	36%	33%	22%	43%	34%	10%	16%	26%	31%
10. Other Low-Income (51 to 80% MFI)	1,870	8,970	4,150	7,165	22,155	7,148	10,364	17,512	39,667
11. % with any housing problems	64%	75%	92%	78%	78%	17%	12%	46%	64%
12. % Cost Burden > 30%	62%	62%	44%	76%	63%	16%	25%	41%	54%
13. % Cost Burden > 50%	17%	8%	5%	9%	9%	6%	14%	20%	14%
14. Moderate Income (81 to 95% MFI)	1,249	8,359	3,139	7,321	20,068	5,018	12,622	17,640	37,708
15. % with any housing problems	57%	56%	84%	53%	59%	12%	10%	48%	54%
16. % Cost Burden > 30%	55%	43%	24%	50%	43%	12%	30%	42%	43%
17. % Cost Burden > 50%	9%	3%	0%	2%	3%	3%	11%	14%	8%
18. Total Households**	19,935	84,039	29,042	75,775	208,791	60,479	252,770	313,249	522,040
19. % with any housing problems	63%	47%	81%	40%	51%	20%	42%	35%	41%

\*\* Includes all income groups -- including those above 95% MFI



## **SECTION 8 EXISTING AFTERCARE PROGRAM DESCRIPTION**

### **Administrative Plan**

#### **GENERAL HISTORICAL INFORMATION:**

Senate Bill 49, authored and introduced by Senator Nick Petris, became law in 1975. This bill provided Section 8 Housing Assistance specifically for the developmentally disabled, mentally disordered, and physically disabled.

Funds for the program are provided by the Federal Department of Housing and Urban Development to the State Department of Housing and Community Development under the Section 8 Existing Housing Program of the United States Housing Act of 1974. HCD in turn allocates monies to local Housing Authorities throughout California.

#### **GENERAL CURRENT INFORMATION:**

The State is no longer involved and funds go into the Section 8 program directly. The Housing Authority considers funding for Aftercare assistance as a Section 8 set-aside. We currently have 100 Aftercare tenants receiving rental assistance. There will be 175 Mainstream Vouchers under lease by June, 2000.

#### **PROGRAM OBJECTIVES:**

To provide rental assistance payments to developmentally disabled, mentally disordered, and physically disabled adults with outpatient status who are financially unable to afford decent adequate housing within their own resources. These persons must be capable of living semi-independently with no more than continuing care services. The program is not suitable for those who require supervision.

Prospective applicants are referred to us by special invitation extended to pre-approved community agencies at selected times. Aftercare applicants bypass regular Section 8 and Public Housing wait list processes.

#### **APPROVED COMMUNITY REFERRING AGENCIES PROVIDE:**

- Screened, eligible applicants to the Housing Authority
- A written certification of disability
- Any assistance necessary for the certificate holder (applicant) to locate housing.
- Assists referred client through the Housing Authority application process, as applicable.
- Assistance may range from the provision of transportation, negotiations with prospective landlords, to the actual completion of paperwork.

**HOUSING AUTHORITY RESPONSIBILITIES:**

- The primary Housing Authority responsibility is to act as a resource and information center to the Designated Assisting Agencies and the prospective tenants.
- Process applications to determine financial eligibility, using applicable income limits.
- Inspect units, keeping in mind fair market rents and Housing Quality Standards.
- Provide contract and lease documents for program landlords and tenants.
- Pay monthly subsidy payments to participating landlords.
- Complete annual inspections.
- Complete annual eligibility processes.
- Conduct interim rent adjustments.
- Process notices from landlords (including notices to terminate subsidy, and notices of rent increase).

## HOMEOWNERSHIP PROGRAM

### HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

Consistent with the Housing Authority of the County of Santa Clara's objective to further fair housing in the community, the Housing Authority shall offer homeownership opportunities to low and very low income families in Santa Clara County.

In as much as the Housing Authority has no single family public housing, the homeownership opportunities shall be made available to eligible families in three categories.

- 1) **Williams Commons.** The Housing Authority administers the resales of nine (9) condominiums restricted by regulatory agreement to low income families in this San Jose development. As part of this program, the City of San Jose provides low interest rate second loans to assist low income buyers. This program averages one (1) resale per year.
- 2) **City of Sunnyvale.** The City of Sunnyvale has an inclusionary housing ordinance requiring developers to provide 10% of new construction be made affordable to low and moderate income families. The Housing Authority administers this below market rate homeownership program under contract with the City of Sunnyvale. This program averages twenty-five (25) sales and resales per year.
- 3) **Other opportunities.** From time to time non-profit and for-profit developers construct affordable for sale housing in Santa Clara County. These programs vary from below market rate pricing to sweat equity as a down payment projects. The Housing Authority shall endeavor to make information available on these opportunities to low and very low income families.

## **Community Housing Alliance Program (CHAP)**

In the Fall of 1998, the Housing Authority of the County of Santa Clara, Inn Vision and Catholic Charities were invited by the City of San Jose to design a program assisting a targeted group of long term homeless families that needed relocation from a local church. A program was designed that included property management, case management, and incentive funds similar to the escrow concept for the Family Self Sufficiency Program.

The City of San Jose, through the Housing and Homeless fund, has assisted 13 families with rent, case management and property management services through Property Management, Inc. The funding is due to expire October 1, 2000 unless the program receives continued funding through the City of San Jose. As people move out of the program, their vacancies are not filled. The Housing Authority also completes annual re-examinations of their income to determine that the rent amounts and escrow amounts are correct. An interim re-examination may be performed if there is a change in the families income whether it be up or down.



**SECTION 8 EXISTING FAMILY SELF-SUFFICIENCY  
PROGRAM DESCRIPTION  
Administrative Plan**

**INTRODUCTION:**

The purpose of the Family Self-Sufficiency (FSS) program is to promote the development of local strategies to coordinate the use the Section 8 and public housing programs with public and private resources to enable eligible families to achieve economic independence and self-sufficiency.

**HISTORICAL PROGRAM REQUIREMENT:**

Beginning in Fiscal Year (FY) 1993, all Housing Authorities receiving new increments of Section 8 certificates and vouchers or funds for new public housing rental units had to implement an FSS program unless granted an exception by HUD. For the public housing and Section 8 programs, the minimum FSS program size that must be established and operated is cumulative and is based on the number of new units funded in FY 1993 and subsequent years plus the number of any FY 1991 and 1992 FSS Incentive Award Units. (24CFR 984.105)

The Quality Housing and Work Responsibility Act of 1998 (QHWRA) revised this requirement clarifying that effective October 21, 1998, a PHA's mandatory minimum FSS program size will not increase with the receipt of incremental Section 8 funding or public housing units; and permits PHA's to maintain a smaller than minimum FSS program size obligation as families successfully complete FSS Contracts.

**TENANT SELECTION PLAN:**

HUD requires FSS programs match each new allocation by recruiting families from the existing Section 8 (except Mod-Rehab) and Public Housing populations.

Under the 1991 FSS Family Selection guidelines, families were accepted from the waiting list, and could lose their housing if they were housed ahead of others on the waiting list and then failed to meet their commitment.

In May of 1999 the FSS Family Selection guidelines no longer permitted Housing Authorities to accept families from the waiting list. Housing Authorities were given the opportunity to target families. A Tenant Selection Plan was approved by the Program  
HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA Admin Plan 02/01/00

## **SECTION 8 EXISTING FAMILY UNIFICATION PROGRAM DESCRIPTION**

### **Administrative Plan**

#### **INTRODUCTION:**

The Family Unification Program (FUP) was established by the National Affordable Housing Act of 1990. It is a five-year program being sponsored by HUD, the Child Welfare League and Vanderbilt University.

FUP was established to promote family unification by providing housing assistance to families for whom the lack of adequate housing is a primary factor in the separation, or imminent separation, of children from their families.

The secondary purpose of the FUP Program is to assist families to become economically self-sufficient so that by the end of the five years, they are prepared to relocate to non-subsidized housing.

#### **ELIGIBILITY:**

1. Families who are in danger of having their child(ren) placed in out-of-home care due to lack of adequate housing.
2. Families whose child(ren) are delayed in returning to the family from out-of-home care due to a lack of adequate housing.

#### **REQUIREMENTS:**

- Have an open child welfare case
- Meet Section 8 housing assistance eligibility requirements
- Be able to be reunified with their child(ren) within six months from the date a referral is made into the FUP Program.

To Participate in the Family Unification Program, eligible families must be referred to the Housing Authority from the Department of Family and Children's Services at the Social Services Agency. Family Unification is a voluntary program.

- a) Families on the waiting list who qualify under the eligibility criteria must be considered first for participation in the FUP Program. At the time that a family is given an opportunity to participate in the FUP Program, they must

## **Mainstream Program for Vouchers Fact Sheet**

The HA has 175 voucher participants under the Mainstream Program for disabled families. These are participants whose Heads of Household or spouse are disabled. The eligible participants were selected from the waiting list. All other admission criteria apply.

When a Mainstream voucher becomes available for reissue, it will be reissued to an eligible disabled applicant for the first five years the subsidy is under the ACC.

In addition to regular program requirements, the HA provides referral services in order to assist the participant to gain access to supportive services that may be available in the community. This includes identifying public and private funding sources to assist participants in covering the costs for modifications that need to be made to their units as a reasonable accommodation for their disability.

**HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA  
ANNUAL PLAN  
RESIDENT ADVISORY BOARD MEETING  
MARCH 2, 2001**

**1. INTRODUCTIONS**

Present: Richard Warren, Property Management Director  
Housing Authority of the County of Santa Clara

Candace Capogrossi, Deputy Director  
Housing Authority of the County of Santa Clara

Kristine Kane, Planning Coordinator  
Housing Authority of the County of Santa Clara

Jean Frances Kizzia, Lenzen Gardens Resident

Ola Bolton, SC8 Voucher Holder

**2. PURPOSE**

The Annual Plan provides details about the Housing Authority's immediate operations, program participants, programs and services, and the Housing Authority's strategy for handling operational concerns, residents' concerns and needs, programs and services for the upcoming fiscal year.

**3. CAPITAL IMPROVEMENT PLAN**

Richard Warren reviewed the Annual Statement - Capital Fund Program for the Housing Authority's complexes.

**4. ADMISSIONS AND CONTINUED OCCUPANCY PLAN**

Richard Warren reviewed the changes to the Admissions and Continued Occupancy Plan.

- The New Community Service and Self-Sufficiency Requirements for Public Housing became effective April 28, 2000. Chapter 16 of the Admissions and Continued Occupancy Plan reflects HUD's Final Rule Secs. 960.601-960.609. The Housing Authority is now required to institute a program that all adults in the household who are not elderly or a person with a disability (and

unable to comply with the requirement), perform at least 8 hours of community service per month.

- HUD published the Final Pet Rule per the directions of QWHRA. Changes were made to Chapter 10 to reflect the rule which became effective August 9, 2000. Chapter 10 explains the Housing Authority's policies on the keeping of pets and any criteria or standards pertaining to the policy. The purpose of this policy is to establish procedures in accordance with the Final Rule for the ownership of pets in elderly and disabled units and to ensure that no applicant or resident is discriminated against regarding admission or continued occupancy because of ownership of pets. It also establishes rules governing the keeping of common household pets.

## **5. PROPOSE CHANGES IN THE SECTION 8 PROGRAMS**

### **Section 8 Home Ownership Program**

H.U.D. now permits Housing Assistance Payments to be used as house payments. Due to the high cost of home ownership in the Santa Clara County, there will be limited families with sufficient resources to qualify. For this reason, a pilot program that will target Family Self Sufficiency participants will be implemented by Fall, 2001. In addition to the escrow funds, partnerships with Bank of America and others will result in leveraged funds. Families will work on their credit profiles before being referred to the home buyers club. Further, it is anticipated that 5 families will be successful by 6-30-02 in obtaining homes.

### **Project Based Section 8**

The Section 8 Program has utilized the project based features previously. Due to program changes which allow Section 8 financial assistance, for up to ten years with no required rehabilitation, it is expected that this program will be engaging to both non profit and for profit owners. We plan to allocate 100 units. A community meeting inviting owners and agents will occur in the Summer of 2001, with 100 units being project based by 2002.

### **Family Unification Program and Welfare to Work Program**

These "set aside" program have utilized names off of the Section 8 wait list. Once the names have been exhausted, the Housing Authority will accept referrals from the Social Service Agency. The clients referred will be screened and their names placed on the wait list.

The Family Unification Program has exhausted the existing wait list and the Welfare to Work Program is currently working with the remaining 1,000 names, who self declared that they were receiving TANF.